



PATENT
Docket No. 37355-131

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of Gray et al.

Serial No. 10/607,144

Filed: June 26, 2003


For: **System and Method for
Conducting Secure Electronic
Transactions**

Examiner: Unassigned

Group Art Unit: 2131

Certificate of Mailing

I hereby certify that this correspondence (along with any documents referred to as attached or enclosed) is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 16, 2004.


Signature

3-16-04
Date of Signature

**PETITION TO ACCEPT NATIONAL APPLICATION
WITHOUT PARTICIPATION OF AN INVENTOR**

Mail Stop Petitions
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

This Petition to Accept National Application Without Participation of an Inventor is being submitted pursuant to 35 U.S.C. §116 and 37 CFR 1.47(a). Please accept the filing of the other inventor's declarations on behalf of the other inventors and nonsigning inventor Darren N. Morford, who cannot be located after a diligent effort.

Further, we have attached the following documents and provide the further information as required by 37 CFR 1.47(a):

1. A statement fully describing the exact facts which are relied on to establish that a diligent effort was made to find or reach nonsigning inventor Darren N. Morford. The statement further indicates that Darren N. Morford's last known address is unknown at this time.

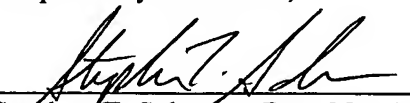
2. fee payment required by 37 CFR 1.17(h).

Date: March 16, 2004

MCDERMOTT, WILL & EMERY
227 West Monroe Street
Chicago, Illinois 60606-5096
tel. no.: (312) 372-2000
fax. no. (312) 984-7700

CHI99 4261532-1.037355.0131

Respectfully submitted,


Stephen T. Scheffer, Reg. No. 45,080

03/22/2004 AWONDAF1 00000043 130206 10607144

01 FC:1460 130.00 DA



DAC/A

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130

Complete if Known

Application Number	10/607,144
Filing Date	June 26, 2003
First Named Inventor	William J. Gray
Examiner Name	Not yet assigned
Art Unit	2131
Attorney Docket No.	37355-131

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number
Deposit Account Name

13-0206

McDermott, Will & Emery

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below	Fee Paid
Total Claims	20	-20** =	0	x 18	= 0
Independent Claims	2	-3** =	0	x 86	= 0
Multiple Dependent					

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130

SUBMITTED BY

Name (Print/Type) Stephen T. Scherrer

Registration No. 45,080
(Attorney/Agent)

(Complete if applicable)

Telephone (312) 372-2000

Signature

Date March 16, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT
Docket No. 37355-131

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of Gray et al.)
Serial No. 10/607,144)
Filed: June 26, 2003)
For: **System and Method for**)
Conducting Secure Electronic)
Transactions)
Examiner: Unassigned)
Group Art Unit: 2131)

**STATEMENT OF FACTS IN SUPPORT OF PETITION TO
ACCEPT NATIONAL PATENT APPLICATION
WITHOUT PARTICIPATION OF AN INVENTOR**

1. This Statement of Facts is provided in support of a Petition to Accept National Patent Application Without Participation of an Inventor. I am Patrice Jacobson, Senior Legal Manager for Patents for American Express Travel Related Services Co., Inc. ("American Express"), assignee of the above-identified claimed invention. I have firsthand knowledge of the facts recited herein. Copies of documentary evidence, where applicable, are attached hereto. The facts recited herein illustrate the steps taken to locate the whereabouts of nonsigning inventor, Darren N. Morford.

2. U.S. Patent Application No. 10/607,144 entitled, "System and Method for Conducting Secure Electronic Transactions" ("the '144 application"), was filed June 26, 2003 in the U.S. patent office by attorneys at McDermott, Will & Emery. The '144 application named Darren N. Morford, among others, as an inventor. The '144 application was filed without an oath or declaration. At the time of the invention that led to the filing of the '144 application, Mr. Morford was a contractor hired by American Express. It is believed that Mr. Morford currently resides in the United Kingdom. It is my understanding that Mr. Morford no longer is contracted to work for American Express.

3. On June 26, 2003, I received a correspondence from Catherine N. Hunter, IP Legal Assistant at McDermott, Will & Emery, reporting to me the filing of the '144 application and requesting that I have the Combined Declaration and Power of Attorney signed by all of the inventors for the '144 application. In addition, Ms. Hunter requested that I have an Assignment executed by the inventors assigning all rights in the invention to American Express Travel Related Services Co., Inc. A copy of this correspondence is attached hereto as Ex. A.

4. On or about June 26, 2003, I attempted to forward the Combined Declaration and Power of Attorney and Assignment from Ms. Hunter to all of the inventors, including Mr. Morford. However, I found that Darren N. Morford was not listed in the American Express e-mail database. I also attempted to find contact information for Mr. Morford through an internet search. However, the internet search provided me with no information on the whereabouts of Mr. Morford or any last known address.

5. On September 16, 2003, a Notice to File Missing Parts was sent to McDermott, Will & Emery by the U.S. Patent Office, indicating that the inventors had not signed the oath or declaration ("formal documents"). Ms. Hunter reported to me the receipt of the Notice on September 23, 2003. A copy of this correspondence is attached hereto as Ex. B.

6. On December 8, 2003, I received a correspondence from Ms. Hunter indicating that she had not received executed formal documents for the '144 application from inventor Morford, among others. This correspondence is attached as Ex. C.

7. On December 8, 2003, I sent a correspondence to Gerry W. Smith, Carl Larkin and Lee J. Peart, all named inventors of the '144 application, requesting help in contacting Mr. Morford to obtain his signature on the formal documents. I received no response from these inventors. This correspondence is attached hereto as Ex. D.

8. On January 7, 2004, I again sent a correspondence to Gerry W. Smith, Carl Larkin and Lee J. Peart and asked again if they could forward the formal documents to Mr. Morford. This correspondence is attached as Ex. E. Again, I received no response from these inventors.

9. On or around January 7, 2004, I spoke with inventor Lee J. Peart, a named inventor on the '144 application, and he suggested that I contact Jackie C. Hyatt, assistant to inventor William J. "Jodi" Gray, to obtain contact information for Mr. Morford and other inventors. On January 15, 2004, I contacted Jackie C. Hyatt and requested contact information from her for Mr. Morford and other inventors, including Stuart Fiske. A copy of this correspondence is attached hereto as Ex. F. She was unable to provide contact information for Mr. Morford, but provided contact information for inventor Stuart Fiske.

10. On January 15, 2004, I contacted William J. "Jodi" Gray and Peter Saunders, named inventors on the '144 application, and requested their help in obtaining Mr. Morford's signature on the formal papers. This correspondence is attached hereto as Ex. G. I received no response from these inventors.

11. On January 16, 2004, I contacted Stuart Fiske and requested help in contacting Mr. Morford. This correspondence is attached hereto as Ex. H. Through Mr. Fiske, I obtained a telephone number purported to be Mr. Morford's. On or about January 16, 2004, I attempted to contact Mr. Morford through this telephone number. However, the telephone number was not a working telephone number, as I reported in a correspondence to Ms. Hunter on January 21, 2004. A copy of this correspondence is attached as Ex. I.

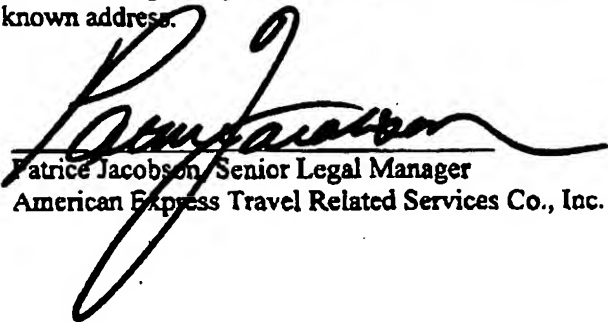
12. On February 19, 2004, I contacted Jennifer Oquendo of American Express' Employment Law Group to request information on Mr. Morford. This correspondence is attached hereto as Ex. J. According to Ms. Oquendo, Mr. Morford does not appear in the

Employment Law Group's employee database, and, therefore, no address or contact information is available for him from American Express' Employment Law Group.

13. On March 12, I called William J. Gray and left a message with him requesting his help in contacting Mr. Morford. Alternatively, I asked him whether he had a last known address for Mr. Morford. I spoke with Mr. Gray on March 15, 2004, and he informed me that he would attempt to find Mr. Morford's last known address in the United Kingdom. I have not heard back from Mr. Gray as of the time of the signing of this document.

14. As of the signing of this document, I believe that Mr. Morford currently resides in the United Kingdom. However, I have no information regarding his whereabouts. In addition, I was unable to determine Mr. Morford's last known address.

Dated: March 16, 2004



Patrice Jacobson, Senior Legal Manager
American Express Travel Related Services Co., Inc.



Catherine N Hunter

06/26/03 04:17 PM

To: "Patrice Jacobson" <patrice.jacobson@aexp.com>

cc: "Tracey R Thomas" <tracey.r.thomas@aexp.com>, John
Bisbikis/CHI/MW&E@MW&E, Stephen T
Scherrer/CHI/MW&E@MW&E

Subject: AMEX Matter No.: TH200211375 - System and Method for Conducting
Secure Electronic Transactions

New Utility U.S. Patent Application

"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)

Our Ref. No.: 37355-131

AMEX Matter No.: TH200211375

Dear Patrice:

I have attached a copy of the above-referenced patent application, including drawings, which was filed today. I have also enclosed a Combined Declaration and Power of Attorney and Assignment.

Please have the **Combined Declaration and Power of Attorney** and **Assignment** documents signed and dated by the inventors and return the signed documents to us as soon as possible. Please have the inventors insert their residence address where necessary. Further, please have Mr. Peart and Mr. Fiske identify their middle initial, if any, on the Combined Declaration and Power of Attorney.

Also, please note that the Rules of the Patent and Trademark Office place a duty of candor and good faith toward the Patent and Trademark Office on the inventors and on all other persons substantively involved in the preparation and prosecution of the application. This duty includes the duty to disclose information which is material to the examination of the application, i.e., where there is a substantial likelihood that a reasonable examiner would consider it important in deciding whether to allow the application to issue as a patent. An acknowledgement of this duty is included in the enclosed Combined Declaration and Power of Attorney.

Pursuant to this duty, we plan to file an Information Disclosure Statement as soon as possible for the application which will list the references which may be relevant to the examination of this application. If you know of any such references, e.g. other patents, magazine articles or advertisements, etc., please provide me with a copy.

If have any questions, please do not hesitate to contact us.

Very truly yours,

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com



- CHI99_4087904_1.DOC



37355-131.pdf



- CHI99_4135198_1.DOC



- CHI99_4135208_1.DOC

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Catherine N Hunter
09/23/2003 04:28 PM

To: "Patrice Jacobson" <patrice.jacobson@aexp.com>
cc: "Tracey R Thomas" <tracey.r.thomas@aexp.com>, John
Bisbikis/CHI/MW&E@MW&E, Stephen T
Scherrer/CHI/MW&E@MW&E, bob.barnes@aexp.com
Subject: AMEX Matter No.: TH200211375 - System and Method for Conducting
Secure Electronic Transactions

New Utility U.S. Patent Application
"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

Dear Patrice:

We are writing to inform you that the U.S. Patent and Trademark Office has acknowledged the filing of the above-identified patent application on June 26, 2003, and has assigned this matter Application No. 10/607,144. In addition, we have received the Official Filing Receipt with Notice to File Missing Parts and have reviewed it to ensure that it accurately reflects the proper information. We have not received any of the executed formal documents for filing a proper response to the Notice to File Missing Parts. Please note that the extendable deadline to file the response is November 16, 2003. For your convenience, we have attached copies for the formal documents for timely execution by the inventors. If you would like a copy of the Official Filing Receipt, please let us know. We will keep you advised of further developments.

In the meantime, if you have any questions, please do not hesitate to contact us.'

Very truly yours,

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com



- CHI99_4135198_1.DOC



- CHI99_4135208_1.DOC

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Catherine N Hunter
12/08/2003 11:25 AM

To: "Patrice Jacobson" <patrice.jacobson@aexp.com>
cc: John Bisbikis/CHI/MW&E@MW&E, Stephen T
Scherrer/CHI/MW&E@MW&E
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions

Utility U.S. Patent Application 10/607,144
"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

Patrice:

One more....

We are still missing documents from Gerald Smith, Carl Larkin, Lee Peart, Stuart Fiske and Darren Morford. We have an extendable deadline of December 16, 2003, to file the documents. For the inventors' convenience, please find attached the documents that need to be executed.

Happy Holidays!

Cathy



- CHI99_4135198_1.DOC



- CHI99_4135208_1.DOC

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com

— Forwarded by Catherine N Hunter/CHI/MW&E on 12/08/2003 11:25 AM —



Catherine N Hunter
11/17/2003 12:25 PM

To: "Patrice Jacobson" <patrice.jacobson@aexp.com>
cc: "Tracey R Thomas" <tracey.r.thomas@aexp.com>, John
Bisbikis/CHI/MW&E@MW&E, Stephen T
Scherrer/CHI/MW&E@MW&E
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions

Reminder:

Utility U.S. Patent Application 10/607,144
"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

Dear Patrice:

I still have not received any formal documents from the inventors for the above-identified patent application. I would appreciate your assistance in obtaining the paperwork as soon as possible.

Thanks,

Cathy

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com



- CHI99_4135198_1.DOC



- CHI99_4135208_1.DOC

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For more information on McDERMOTT, WILL & EMERY please visit our website at: <http://www.mwe.com/>

From: Patrice Jacobson on 12/08/2003 01:07 PM

To: Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX

cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com

Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and Method for Conducting Secure Electronic Transactions - URGENT ACTION REQUIRED

Dear Inventors - Please note that outside patent counsel is still waiting to receive your executed documents below. As inventors you are required to execute the below documents and return them to the attention of Cathy Hunter of

McDermott, Will & Emery. Therefore, please print out each document, execute each document and return via overnight mail to Cathy Hunter's attention at the address below. Please note that there is a December 16, 2003 deadline to get this completed.

Thank you for all your assistance on this matter.

Regards, Patrice

IF ANYONE KNOWS HOW TO CONTACT STUART FISKE AND DARREN MORFORD THEN PLEASE

ENSURE THAT THEY RECEIVE THESE DOCUMENTS TO EXECUTE. THANK YOU

DECLARATION DOCUMENT

(See attached file: CHI99_4135198_1.DOC)

ASSIGNMENT DOCUMENT

(See attached file: CHI99_4135208_1.DOC)

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246

----- Forwarded by Patrice Jacobson on 12/08/2003 12:57 PM

From: chunter@mwe.com on 12/08/2003 12:25 PM

To: Patrice Jacobson@AMEX
cc: jbisbikis@mwe.com, sscherrer@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions

Utility U.S. Patent Application 10/607,144
"System and Method for Conducting Secure Electronic Transactions" (Gray, et
al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

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One more....

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Stuart Fiske and Darren Morford. We have an extendable deadline of December
16, 2003, to file the documents. For the inventors' convenience, please find
attached the documents that need to be executed.

Happy Holidays!

Cathy

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
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tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com

----- Forwarded by Catherine N Hunter/CHI/MW&E on 12/08/2003 11:25 AM -----

Catherine N
Hunter
11/17/2003
12:25 PM

To: "Patrice Jacobson"
<patrice.jacobson@aexp.com>
cc: "Tracey R Thomas"
<tracey.r.thomas@aexp.com>, John Bisbikis/CHI/MW&E@MW&E,
Stephen T Scherrer/CHI/MW&E@MW&E
Subject: Formal Documents for AMEX Matter
No.: TH200211375 - System and Method for Conducting Secure
Electronic Transactions

Reminder:

Utility U.S. Patent Application 10/607,144
"System and Method for Conducting Secure Electronic Transactions" (Gray, et
al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

Dear Patrice:

I still have not received any formal documents from the inventors for the
above-identified patent application. I would appreciate your assistance in
obtaining the paperwork as soon as possible.

Thanks,

Cathy

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com

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CHI99_4135198_1.DO(CHI99_4135208_1.DO(

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From: Patrice Jacobson on 01/07/2004 12:54 PM

To: Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob
Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - URGENT ACTION
REQUIRED

Dear Inventors - It just has been brought to my attention that Cathy Hunter of
McDermot, Will & EMery has not yet received your executed documentation.
Please note that there is now a January 16, 2004 deadline to get this
completed. Please ensure you print out each document and execute them and
return them to Cathy Hunter's attention as soon as possible. These documents
may be executed in counterparts.

Thank you.

Patrice

***IF ANYONE KNOWS HOW TO CONTACT STUART FISKE AND DARREN MORFORD THEN PLEASE
ENSURE THAT THEY RECEIVE THESE DOCUMENTS TO EXECUTE. THANK YOU***

----- Forwarded by Patrice Jacobson on 01/07/2004 12:50 PM

From: Patrice Jacobson on 12/08/2003 01:07 PM

To: Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX .
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob
Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - URGENT ACTION
REQUIRED

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Thank you for all your assistance on this matter.

Regards, Patrice

IF ANYONE KNOWS HOW TO CONTACT STUART FISKE AND DARREN MORFORD THEN PLEASE ENSURE THAT THEY RECEIVE THESE DOCUMENTS TO EXECUTE. THANK YOU

DECLARATION DOCUMENT

(See attached file: CHI99_4135198_1.DOC)

ASSIGNMENT DOCUMENT

(See attached file: CHI99_4135208_1.DOC)

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246

----- Forwarded by Patrice Jacobson on 12/08/2003 12:57 PM

From: chunter@mwe.com on 12/08/2003 12:25 PM

To: Patrice Jacobson@AMEX
cc: jbisbikis@mwe.com, sscherrer@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
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Utility U.S. Patent Application 10/607,144

"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)

Our Ref. No.: 37355-131

AMEX Matter No.: TH200211375

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To: "Patrice Jacobson"
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<tracey.r.thomas@aexp.com>, John Bisbikis/CHI/MW&E@MW&E,
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CHI99_4135198_1.DOC CHI99_4135208_1.DOC

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From: Patrice Jacobson on 01/16/2004 04:26 PM

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Senior Legal Manager - Patents
General Counsel's Office

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<patrice.jacobson@aexp.com>
cc: "Tracey R Thomas"
<tracey.r.thomas@aexp.com>, John Bisbikis/CHI/MW&E@MW&E,
Stephen T Scherrer/CHI/MW&E@MW&E
Subject: Formal Documents for AMEX Matter
No.: TH200211375 - System and Method for Conducting Secure
Electronic Transactions

Reminder:

Utility U.S. Patent Application 10/607,144
"System and Method for Conducting Secure Electronic Transactions" (Gray, et
al.)
Our Ref. No.: 37355-131
AMEX Matter No.: TH200211375

Dear Patrice:

I still have not received any formal documents from the inventors for the
above-identified patent application. I would appreciate your assistance in
obtaining the paperwork as soon as possible.

Thanks,

Cathy

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com

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(See attached file: CHI99_4135198_1.DOC)
(See attached file: CHI99_4135208_1.DOC)

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"Patrice Jacobson"
<patrice.jacobson@ae
xp.com>

01/21/2004 01:35 PM

To: chunter@mwe.com
cc: "Tracey R Thomas" <tracey.r.thomas@aexp.com>, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - VERY
URGENT ACTION REQUIRED

Cathy - Have been receiving the documents for this matter? I tried to locate Darren Morford but to no avail I have not had any luck. I was able to obtain a number for him but it is not a working number. What are we going to do?

Thanks, Patrice

----- Forwarded by Patrice Jacobson on 01/21/2004 02:34 PM

From: Patrice Jacobson on 01/16/2004 04:26 PM

To: stuart.fiske@chyp.com
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, chunter@mwe.com, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - VERY URGENT
ACTION REQUIRED

Stuart - Hi and Happy New Year. I got your e-mail address from Jackie Hyatt and was hoping that I could ask you to execute the documents attached at the bottom of this e-mail as you are an inventor on this matter. Please follow the instructions below and feel free to contact me at 516-378-4294 should you have any questions.

Do you also happen to know how I may be able to reach Darren Morford?

Thank you for your assistance on this matter.

Best regards,

Patrice

Patrice Jacobson
Senior Legal Manager - Patents
General Counsel's Office

----- Forwarded by Patrice Jacobson on 01/16/2004 03:42 PM

From: Patrice Jacobson on 01/15/2004 02:53 PM

To: Jackie C Hyatt/AMER/TRS/AEXP@AMEX
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, chunter@mwe.com, jbisbikis@mwe.com,
Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX, William J
Gray/TC/TRS/American Express@AMEX, Peter D Saunders/AMER/TRS/AEXP@AMEX
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - VERY URGENT
ACTION REQUIRED

Jackie - Happy New Year and hope that you are well. I just spoke with Lee Peart and he requested that I forward you this e-mail. I need to obtain the signatures of Gerry Smith, Carl Larkin, Lee Peart, Stuart Fiske and Darren

Morford on the two (2) attached documents. These documents may be executed in counterparts.

I gather that Stuart Fiske and Darren Morford are no longer with the company however any assistance that you can provide in terms of there contact information (specifically their phone numbers and e-mail addresses) would be terrific.

If you are going to obtain the signatures I need the signatures faxed and send via overnight mail to Cathy Hunter's attention of McDermott, Will & Emery as per the instructions below.

Thanks for your assistance and I can be reached at 516-378-4294 should you have any questions.

Best regards, Patrice

----- Forwarded by Patrice Jacobson on 01/15/2004 02:47 PM -----

From: Patrice Jacobson on 01/15/2004 02:33 PM

To: William J Gray/TC/TRS/American Express@AMEX, Peter D
Saunders/AMER/TRS/AEXP@AMEX
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob
Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com, Gerry W Smith@AMEX,
Carl Larkin@AMEX, Lee J Peart@AMEX
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - VERY URGENT
ACTION REQUIRED

Jodi/Peter - I was hoping that you may be able to help me. I have been sending e-mails and Cathy Hunter of MWE has not been getting the signatures that she needs on the Declaration document and the Assignment document with the exception of receiving the documents executed by the both of you. There are extensions however the more extensions the more expense it gets. I am going to call Gerry, Carl and Lee however if you are able to speak with them too that would be helpful. Further does anyone know how to contact Stuart Fiske and Darren Morford as it is imperative that they execute the two (2) documents below as well?

Thanks for all your assistance.

Regards, Patrice

INSTRUCTIONS:

1. Print out both documents below.
2. Execute both documents.
3. Fax both documents to Cathy Hunter's attention of MWE at 312-984-7700
4. Send both originally executed documents to Cathy Hunter's attention at her address below via overnight mail.

These documents may be executed in counterparts.

DECLARATION DOCUMENT

(See attached file: CHI99_4135198_1.DOC)

ASSIGNMENT DOCUMENT

(See attached file: CHI99_4135208_1.DOC)

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246

----- Forwarded by Patrice Jacobson on 01/15/2004 02:23 PM

From: Patrice Jacobson on 01/07/2004 12:54 PM

To: Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob
Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - URGENT ACTION
REQUIRED

Dear Inventors - It just has been brought to my attention that Cathy Hunter of
McDermot, Will & Emery has not yet received your executed documentation.
Please note that there is now a January 16, 2004 deadline to get this
completed. Please ensure you print out each document and execute them and
return them to Cathy Hunter's attention as soon as possible. These documents
may be executed in counterparts.

Thank you.

Patrice

***IF ANYONE KNOWS HOW TO CONTACT STUART FISKE AND DARREN MORFORD THEN PLEASE
ENSURE THAT THEY RECEIVE THESE DOCUMENTS TO EXECUTE. THANK YOU***

----- Forwarded by Patrice Jacobson on 01/07/2004 12:50 PM

From: Patrice Jacobson on 12/08/2003 01:07 PM

To: Gerry W Smith@AMEX, Carl Larkin@AMEX, Lee J Peart@AMEX
cc: Tracey R Thomas/AMER/TRS/AEXP@AMEX, Jeff S Fehlhaber@AMEX, Bob
Barnes@AMEX, chunter@mwe.com, jbisbikis@mwe.com
Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and
Method for Conducting Secure Electronic Transactions - URGENT ACTION
REQUIRED

Dear Inventors - Please note that outside patent counsel is still waiting to receive your executed documents below. As inventors you are required to execute the below documents and return them to the attention of Cathy Hunter of McDermott, Will & Emery. Therefore, please print out each document, execute each document and return via overnight mail to Cathy Hunter's attention at the address below. Please note that there is a December 16, 2003 deadline to get this completed.

Thank you for all your assistance on this matter.

Regards, Patrice

IF ANYONE KNOWS HOW TO CONTACT STUART FISKE AND DARREN MORFORD THEN PLEASE ENSURE THAT THEY RECEIVE THESE DOCUMENTS TO EXECUTE. THANK YOU

----- Forwarded by Patrice Jacobson on 12/08/2003 12:57 PM -----

From: chunter@mwe.com on 12/08/2003 12:25 PM

To: Patrice Jacobson@AMEX

cc: jbisbikis@mwe.com, sscherrer@mwe.com

Subject: Formal Documents for AMEX Matter No.: TH200211375 - System and Method for Conducting Secure Electronic Transactions

Utility U.S. Patent Application 10/607,144

"System and Method for Conducting Secure Electronic Transactions" (Gray, et al.)

Our Ref. No.: 37355-131

AMEX Matter No.: TH200211375

Patrice:

One more....

We are still missing documents from Gerald Smith, Carl Larkin, Lee Peart, Stuart Fiske and Darren Morford. We have an extendable deadline of December 16, 2003, to file the documents. For the inventors' convenience, please find attached the documents that need to be executed.

Happy Holidays!

Cathy

Catherine N. Hunter
IP Legal Assistant
McDermott, Will & Emery
227 West Monroe Street
Chicago, IL 60606-5096
tel. no. (312) 899-7246
fax. no. (312) 984-7700
chunter@mwe.com

----- Forwarded by Catherine N Hunter/CHI/MW&E on 12/08/2003 11:25 AM -----

Catherine N
Hunter
11/17/2003
12:25 PM

To: "Patrice Jacobson"
<patrice.jacobson@aexp.com>
cc: "Tracey R Thomas"
<tracey.r.thomas@aexp.com>, John Bisbikis/CHI/MW&E@MW&E,
Stephen T Scherrer/CHI/MW&E@MW&E
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Thanks,

Cathy

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IP Legal Assistant
McDermott, Will & Emery
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tel. no. (312) 899-7246
fax. no. (312) 984-7700
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